

2157

0360 #6

**TRANSMITTAL OF FORMAL DRAWINGS**

Docket No.  
CAI-0001 (PAB-0003)

In Re Application Of: **Bruce Gillespie, et al.**

Serial No.

Filing Date

Batch No.

Examiner

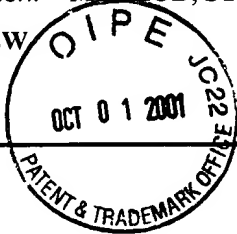
Art Unit

09/916,388

7-27-01

2151

Invention: **METHOD, SYSTEM AND STORAGE MEDIUM FOR AUTOMATED INDEPENDENT TECHNICAL REVIEW**



Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**RECEIVED**

NOV 08 2001

Technology Center 2100

Transmitted herewith are:

4 sheets of formal drawing(s) for this application.

Each sheet of drawing indicates the identifying indicia suggested in 37 CFR Section 1.84(c) on the reverse side of the drawing.

Signature

Anne Davis Barry  
Reg. No. 47,408  
PTO Customer No. 23413

Dated: September 28, 2001

I certify that this document and attached formal drawings are being deposited on 9-28-01 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

**Tammie Lanthier**

Typed or Printed Name of Person Mailing Correspondence

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**Applicant(s): **Bruce Gillespie, et al.**

Docket No.

**CAI-0001 (PAB-0003)**

Serial No.

**09/916,388**

Filing Date

**7-27-01**

Examiner

Group Art Unit

**2151**Invention: **METHOD SYSTEM AND STORAGE MEDIUM FOR AUTOMATED INDEPENDENT TECHNICAL REVIEW****RECEIVED**

NOV 08 2001

Technology Center 2100

I hereby certify that this Transmittal of Formal Drawings and four (4) sheets of Formal Drawings  
(Identify type of correspondence)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The

Commissioner of Patents and Trademarks, Washington, D.C. 20231-0001 on September 28, 2001  
(Date)Tammie Lanthier

(Typed or Printed Name of Person Mailing Correspondence)

Tammie Lanthier  
(Signature of Person Mailing Correspondence)**Note: Each paper must have its own certificate of mailing.**

**TRANSMITTAL LETTER  
(General - Patent Pending)**

Docket No.  
**CAI-0001 (PAB-0003)**

In Re Application Of: **Bruce Gillespie, et al.**

Serial No.  
**09/916,388**

Filing Date  
**7-27-01**

Examiner

Group Art Unit  
**2151**

Title: **METHOD, SYSTEM AND STORAGE MEDIUM FOR AUTOMATED INDEPENDENT TECHNICAL REVIEW**

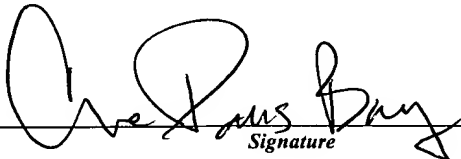
**TO THE COMMISSIONER OF PATENTS AND TRADEMARKS:**

Transmitted herewith is: **the executed Declaration in conformance with 37 CFR 1.68 as required in the Notice (Form PTOL-456) dated August 16, 2001**

09/27/01 1:19 PM  
CAI-0001 (PAB-0003)

in the above identified application.

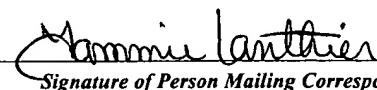
- ☒ No additional fee is required.
- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. **06-1130** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

  
Signature

**Anne Davis Barry  
Reg. No. 47,408  
PTO Customer No. 23413**

Dated: **September 27, 2001**

I certify that this document and fee is being deposited on 9-27-01 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

  
Signature of Person Mailing Correspondence

**Tammie Lanthier**

Typed or Printed Name of Person Mailing Correspondence

CC:

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.  
**CAI-0001 (PAB-0003)**

In Re Application Of: **Bruce Gillespie, et al.**

Serial No.  
**09/916,388**

Filing Date  
**7-27-01**

Examiner

Group Art Unit  
**2151**

Invention: **METHOD, SYSTEM AND STORAGE MEDIUM FOR AUTOMATED INDEPENDENT TECHNICAL REVIEW**

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

**Box Missing Parts**

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
**8-23-01**  
Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☒ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☐ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☐ Other (list):

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)**

Docket No.  
CAI-0001 (PAB-0003)

In Re Application Of: **Bruce Gillespie, et al.**

Serial No.  
09/916,388

Filing Date  
7-27-01

Examiner

Group Art Unit  
2151

Invention: **METHOD, SYSTEM AND STORAGE MEDIUM FOR AUTOMATED INDEPENDENT TECHNICAL REVIEW**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

☒ Completion of application fees as calculated below:

☐ Utility application filing fee

☐ Design application filing fee

☐ Total number of independent claims = \_\_\_\_\_

☐ Total number of claims = \_\_\_\_\_

☐ Multiple dependent claims

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath **\$130.00**

☐ Petition and fee for filing by other than all the inventors or a person not the inventor

☐ Fee for processing an application filed with a non-English language specification

☐ Fee for processing and retention of application

Total completion of application fees **\$130.00**

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☐ One month ☐ Two months ☐ Three months ☐ Four months ☐ Five months

from: \_\_\_\_\_ until: \_\_\_\_\_  
Date Date

Total time extension fees \_\_\_\_\_

Total fees due **\$130.00**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)**

Docket No.  
**CAI-0001 (PAB-0003)**

In Re Application Of: **Bruce Gillespie, et al.**

Serial No.  
**09/916,388**

Filing Date  
**7-27-01**

Examiner

Group Art Unit  
**2151**

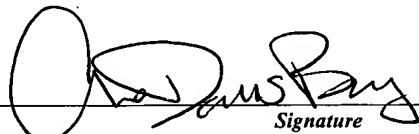
Invention: **METHOD, SYSTEM AND STORAGE MEDIUM FOR AUTOMATED INDEPENDENT TECHNICAL REVIEW**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

The fee of **\$130.00** is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **06-1130**  
A duplicate copy of this sheet is enclosed.
- ☐ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No.  
A duplicate copy of this sheet is enclosed.

  
Signature

Anne Davis Barry  
Reg. No. 47,408  
PTO Customer No. 23413  
Confirmation No. 7804

Dated: **September 27, 2001**

I certify that this document and fee is being deposited  
on **9-27-01** with the U.S. Postal Service as  
first class mail under 37 C.F.R. 1.8 and is addressed to the  
Assistant Commissioner for Patents, Washington, D.C.  
20231.

  
Signature of Person Mailing Correspondence

**Tammie Lanthier**

Typed or Printed Name of Person Mailing Correspondence

CC:

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**Applicant(s): **Bruce Gillespie, et al.**

Docket No.

**CAI-0001 (PAB-0003)**

Serial No.

**09/916,388**

Filing Date

**7-27-01**

Examiner

Group Art Unit

**2151**Invention: **METHOD, SYSTEM AND STORAGE MEDIUM FOR AUTOMATED INDEPENDENT TECHNICAL REVIEW**

I hereby certify that this **Response to Notice to File Missing Parts of Nonprovisional Application, Dec./POA**  
(Identify type of correspondence)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The

Commissioner of Patents and Trademarks, Washington, D.C. 20231-0001 on **September 27, 2001**  
(Date)

**Tammie Lanthier**

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

**Note: Each paper must have its own certificate of mailing.**

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**Applicant(s): **Bruce Gillespie, et al.**

Docket No.

**CAI-0001 (PAB-0003)**

Serial No.

**09/916,388**

Filing Date

**7-27-01**

Examiner

Group Art Unit

**2151**Invention: **METHOD, SYSTEM AND STORAGE MEDIUM FOR AUTOMATED INDEPENDENT TECHNICAL REVIEW**I hereby certify that this **Transmittal Letter, A copy of Form PTOL-456 dated 8-16-01 with Declaration**  
(Identify type of correspondence)is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The  
Commissioner of Patents and Trademarks, Washington, D.C. 20231-0001 on **September 27, 2001**  
(Date)**Tammie Lanthier**

(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)**Note: Each paper must have its own certificate of mailing.**





**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

SERIAL NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/916,388	07/27/01	GILLESPIE, ET AL.	CAI-0003 PAB-0003

DEBORAH CRENSHAW  
5A RIVERVIEW DRIVE  
EAST WINDSOR, CT 06088

EXAMINER	
ART UNIT	PAPER NUMBER
	2

DATE MAILED: 08/16/01

**IF NO RESPONSE TO THIS NOTICE IS RECEIVED WITHIN FORTY-FIVE DAYS, A  
FORMAL REQUIREMENT WILL BE ISSUED**

The subject matter of this application appears to:

☒ be "useful in the production or utilization of special nuclear material or atomic energy" as recited in 42 U.S.C. 2182 (Department of Energy (DOE)).

☐ "have significant utility in the conduct of aeronautical and space activities" as recited in 42 U.S.C. 2457 (National Aeronautics and Space Administration (NASA)).

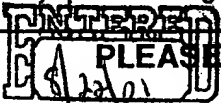
Accordingly, no patent can issue on this application unless applicant(s) file a statement (under oath or in the form of a declaration as provided by 37 CFR 1.68) setting forth (1) the full facts concerning the circumstances under which the invention was made and conceived and (2) the relationship (if any) of the invention to the performance of any work under any contract or other arrangement with the Agency(ies) noted above. On the reverse side of this form is an example of an acceptable format for this statement. The language appearing in paragraphs III and/or IV of the example *must* appear if applicant is attempting to establish that no relationship (under item 2 above) exists.

If the invention disclosed in this application was developed under a contract, grant or cooperative agreement between the Agency indicated above and a person, small business or non-profit organization and rights to the invention have been determined by specific reference to 35 U.S.C. 202 in the contract, grant or cooperative agreement, then applicant need not submit the statement described above. Instead, applicant may file a verified statement (under oath or in the form of a declaration, 37 CFR 1.68) setting forth the information required by 35 U.S.C. 202(c)(6).

IF NO STATEMENT HAS BEEN RECEIVED WITHIN FORTY-FIVE DAYS OF THE MAIL DATE INDICATED ABOVE, a formal requirement for statement will then be issued. No provision is made for extension of the statutory thirty-day period for response to the formal requirement and the penalty for failure to file an acceptable and timely statement is abandonment of the application. Therefore, applicants are strongly encouraged to submit a statement at this time in order to avoid the issuance of a formal requirement.

IT IS IMPORTANT TO NOTE that the statement must accurately represent the property rights situation of the claimed invention if and when the application is found allowable. Thus, if during prosecution before the examiner, the claimed invention is so altered or the property rights situation so changed as to impact the accuracy of a statement submitted earlier, a supplemental statement must be filed. Failure to submit such additional information where appropriate may be considered a false representation of material facts and render the patent owner vulnerable to loss of patent rights and other sanctions as set forth in the statutes. The PTO will not review allowed applications for this possibility. The responsibility for complying with the statutes rests with the applicants.

Any questions regarding this requirement should be directed to Licensing and Review at (703) 306-4191.



**PLEASE DIRECT ALL COMMUNICATIONS RELATING TO THIS MATTER TO THE  
ATTENTION OF LICENSING AND REVIEW**

CAI-0001

MP

The following is an example of an acceptable property rights statement. Statements of this type are, of course, only suitable for situations in which NO Agency funds or other considerations were involved in the making or conception of the invention. While this example is in the form of a declaration, a sworn document is equally acceptable.

I (We) \_\_\_\_\_  
citizens of \_\_\_\_\_  
residing at \_\_\_\_\_  
declare:  
That I (we) made and conceived the invention described and claimed in patent application:

Serial Number \_\_\_\_\_ filed in the United States of America on \_\_\_\_\_  
titled \_\_\_\_\_

*(Check and complete either I or II below)*

*(Check III and/or IV below as appropriate)*

☒ I. *(For Inventors Employed by an Organization)* That I (we) made and conceived this invention while employed by \_\_\_\_\_. That the invention is related to the work I am (we are) employed to perform and was made within the scope of my (our) employment duties; That the invention was made during working hours and with the use of facilities, equipment, materials, funds, information and services of \_\_\_\_\_. Other relevant facts are \_\_\_\_\_  
(name of employer)

That to the best of my (our) knowledge and belief (and/or) based upon information provided by \_\_\_\_\_  
\_\_\_\_\_ of \_\_\_\_\_;

—OR—

☐ II. *(For Self-Employed Inventors)* That I (we) made and conceived this invention on my (our) own time using only my (our) own facilities, equipment, materials, funds, information and services. Other relevant facts are \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

That to the best of my (our) knowledge and belief:

☒ III. The invention was not made or conceived in the course of, or in connection with, or under the terms of any contract, subcontract or arrangement entered into with or for the benefit of the United States Atomic Energy Commission or its successors: Energy Research and Development Administration or the Department of Energy.

—AND/OR—

☒ IV. The invention was not made (conceived or first actually reduced to practice) under nor is there any relationship of the invention to the performance of any work under any contract of the National Aeronautics and Space Administration.

The undersigned inventor(s) declare further that all statements made herein of his or her (their) own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Inventor's Signature: \_\_\_\_\_

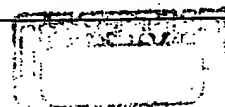
Post Office Address: \_\_\_\_\_

Date: \_\_\_\_\_

Inventor's Signature: \_\_\_\_\_

Post Office Address: \_\_\_\_\_

Date: \_\_\_\_\_





UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/916,388	07/27/2001	Bruce Gillespie	PAB-0003

.23413  
CANTOR COLBURN, LLP  
55 GRIFFIN ROAD SOUTH  
BLOOMFIELD, CT 06002

CONFIRMATION NO. 7804

FORMALITIES LETTER



\*OC000000006465838\*

Date Mailed: 08/23/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

10/02/2001 MBELETE1 00000117 09916388

01 FC:105

130.00 OP



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AUG 27 2001

CANTOR COLBURN LLP

10/23